



# RECORDS RETENTION SCHEDULE

HORSE RACING AUTHORITY

Schedule Date: December 14, 2006



Prepared by  
**STATE RECORDS BRANCH**  
Public Records Division  
Kentucky Department for Libraries and Archives

*Signature Page*

December 14, 2006  
Schedule Date

Change Date

December 14, 2006  
Date Approved By Commission

The undersigned approve of the following Records Retention Schedule or Change:

December 14, 2006  
Date of Approval

December 14, 2006  
Date of Approval

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**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** December 14, 2006

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Environmental and Public Protection  
Public Protection  
Kentucky Horse Racing Authority

<b>Records Title</b>		<b>Retention</b>	
<b>Series</b>	<b>and Description</b>	<b>Function and Use</b>	<b>Disposition Instruction</b>
<b>00736</b>	Master License File (V)	This series documents applications of all licensees.	includes approved applications and related correspondence of trainers, drivers, vendors, veterinarians, racing officials, announcers, grooms, stables, farriers, mutual employees, and owners
			Agency: I Records Center: Archives Center: P Transfer to State Archives 5 years after last activity
<b>00737</b>	Investigation File - Denied Applicants (V)	This series documents all applications for horse racing that have been denied. Applications are submitted by owners, trainers, and jockeys.	Unapproved applications; interviews, inquiries, correspondence, and final determination.
			Agency: I Records Center: Archives Center: Destroy 75 years after file initiated, or, after death of subject
<b>00738</b>	Master License File and Mailing List - Duplicate Information on Current Licensees (V)	This series lists mailing addresses of current licensees for purpose of mass mailing applications at the end of the year for the following year.	name and address of all current licensees
			Agency: 3 Records Center: Archives Center: Destroy after audit.
<b>00740</b>	Eligible Horses List-Ky Standardbred Development Fund - Sire Stakes Program (Includes listing of 2 and 3 year old horses eligible to participate in Sire Stakes Program.) (Electronic Disks) (V)	This series documents the 2 and 3 year old horses eligible for the Kentucky Sire Stakes Program.	List of eligible horses.
			Agency: 3 Records Center: Archives Center: Destroy after audit
<b>00741</b>	Race Meet Results File (V)	This series documents results of races during a race meet - order of finish, injuries, discrepancies.	Includes Judges Sheets, Programs for each Racing Day and Computer Printout of Pari Mutuel
			Agency: 3 Records Center: Archives Center: Destroy after audit

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00742	Eligible Horse List - County Fair Purse Fund - List of Horses Eligible for County Fair Races (V)	This series documents horses that are eligible to race in County Fairs in Kentucky.	List of eligible horses.	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
00964	Case Files (V)	This series documents financial responsibility cases, cases pertaining to licensees who have failed to meet financial obligations or have had a ruling issued by KHRA or other legal issue.	Files pertaining to individual cases - cases may be financial responsibility, rulings, investigative, appeals, or other hearings. Contains appeals, hearings, police reports, news articles, information regarding testimony, copy of license.	Agency: I	Records Center:	Archives Center: P
				Transfer to the State Archives when case is closed		

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00965	Application File	This series documents the licensing procedures and requirements for participation in thoroughbred and harness racing. Licenses are issued for a calendar year. All licenses expire December 31st, regardless of when during the year they were issued. Approximately 20,000 licenses are issued by the Commission each year. Any license granted under KRS Chapter 230 is subject to revocation or suspension by the Commission. If warranted, the Commission may hold hearings related to alleged violations. The action of the Commission in denying, revoking or suspending a license is final, until reversed or modified by a valid order of the court. The Thoroughbred Racing Protective Bureau and the United States Trotting Association maintain databases that document individuals who have violated racing rules and laws. Before a license is issued, a check of the databases is made to ensure requirements are met. The following must be licensed by the Commission, prior to participation in a race event: owners, trainers, owner/trainers, assistant trainers, drivers, driver/trainers, owner/trainer/drivers, jockeys, jockey apprentices, jockey agents, claiming, veterinarians, veterinarian assistants, dental technicians, vendors, vendor employees, blacksmiths, farm manager/agents, stable employees, association employees, mutuels, occupational, racing officials, steeplechase jockeys.	Series contains: a designation for thoroughbred/standardbred; previous license, year, Trotting Association number; expiration date; applicant name, social security number, date of birth, place of birth, address, phone numbers, sex, height, weight, hair color, color of eyes, marital status; trainer; employer; occupation/duties; person to notify in case of emergency. Section for owner/trainer and assistant trainer; section requiring answers to specific questions dealing with previous licenses in other states and under other names, revocation/suspension of licenses, employment or association with illegal establishments, arrests, indictments, complaints/indictments regarding possession of controlled substances, and whether presently on probation/parole. Also includes agreement to abide by Kentucky Rules of Racing and rulings of stewards and application for partnership registration.	Agency: 2	Records Center: 3	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
00966	Track Report File - (Pari-mutuel supervisor; pari-mutuel handle) (V)	This series documents racetrack reporting, including parimutuel and handle amounts.	May include parimutuel reports from racetracks.	Agency: 5	Records Center:	Archives Center:
				Destroy		
00967	Stewards' Report (V)	This series documents Stewards' reports of changes in races (scratches, jockey changes, etc.), weather, and condition of the track.	daily reports taken by Stewards	Agency: 5	Records Center:	Archives Center:
				Destroy		



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00968	Chemist Report File - Positive (C) KRS 61.878 (1)(h)(i), until final report received (V)	This series documents the complete chain of custody of a positive chemist report. A positive test reflects a prohibited medication or drug in the system of the horse. A prohibited medication or drug would be any not approved for use by the Commission. Chain of custody follows the test sample from log-in to receipt of a positive report, that is, all the stages the test goes through to final report. The test samples, which are collected from the winning horse, plus one other horse, are collected at the track test barn by a Commission veterinarian, then shipped to a testing laboratory approved by the Commission. The horse's identification number (tattoo, found in the inside upper lip) also is checked. (Tattoos are usually only done for racing purposes.) Positive reports can result in redistribution of the purse, that is, the purse is distributed to the next place finisher. They can also result in hearings before track stewards, who make the final decision as to the outcome of races. NOTE: Although information from the reports is entered into a database, hard copy reports are retained to show original results, in the event of litigation.	Series contains: Shipping receipt; veterinarian's medication report; checklist of file contents; copy of daily log sheet; copy of preliminary reports; copy of final report; positive results letter; data package (lab chemistry report and chain of custody information)	Agency: 5  Destroy	Records Center:	Archives Center:
00970	Thoroughbred Protective Bureau File With Case Histories	This series documents investigations of Kentucky licensees by the Thoroughbred Racetrack Protective Bureau. It may document drug testing, violations, and criminal histories.	Individual case files/investigative files.	Agency: P  Retain in agency	Records Center:	Archives Center:
00971	License Listing From National Association of State Racing Commission (V)	This series documents the licensee list from the National Racing Compact (NRC) and the licensees' applications.	Licensees' applications (includes owners, trainers, assistant trainers, jockeys, jockey agents, stable employees, veterinarians, etc.). May include personal information.	Agency: P  Retain in agency	Records Center:	Archives Center:
00973	Color Book Closed Date: 12/31/1992	CLOSED SERIES: No information for this series.		Agency: P  Retain in agency	Records Center:	Archives Center:
00976	Fund Registration Sheets (V)	This series documents registration logs of horses in the Kentucky Standardbred Development Fund (KSDF). KSDF is a division of KHRA that regulates the Standardbred horse racing industry.	Lists of foals, yearlings, horses of racing age, and stallions.	Agency: P  Retain in agency	Records Center:	Archives Center:

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00977	Development Fund Logs (V)	This series documents summaries of race meets.	Includes meet summary, dollars earned by horses, owner, breeder, and sire.	Agency: 5	Records Center: P	Archives Center:
				Send to Records Center after 5 years.		
00978	Kentucky Thoroughbred Development Fund Registration Card Closed Date: 1/1/2000	CLOSED SERIES - The agency no longer keeps these records. The Kentucky Thoroughbred Association (KTA) / Kentucky Thoroughbred Owners and Breeders (KTOB), a joint agency, now retains this information.		Agency: 1	Records Center:	Archives Center:
				Destroy upon death of horse		
00980	Color File Closed Date: 12/31/1992	CLOSED SERIES: No information for this series.		Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
00981	License Books - Receipt	This series documents payment of licenses issued by the Kentucky Horse Racing Authority (KHRA).	daily reports, deposit slips, receipts	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
00983	Application Renewals - Ownership License Closed Date: 1/1/2000	CLOSED SERIES - As stated in KRS 230.310, a new application is computed every year; no renewal applications.		Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
00984	Chemist Report File - Negative (C) KRS 61.878 (1)(h)(i), until final report received	This series documents that prohibited medications or drugs were not found in the system of the tested horses. Samples are collected from the winning horse, plus one other horse, by a Commission veterinarian, at the test barn. The chain of custody for a negative test is similar to that for a positive test (see series 00968). A negative test report can reflect the presence of suspicious substances that, due to testing methods, make it impossible to determine if a violation occurred. In such cases, the laboratory will retain residual samples for as many as two to three years, in case better testing methods are found. If subsequent testing reflects the presence of a prohibited drug or medication, the Commission would be notified. In such cases, penalties would not be assessed; however, future races could be affected.	Series contains: Shipping receipt; veterinarian's medication report; checklist of file contents; copy of daily log sheet; copy of preliminary reports; copy of final report; data package (lab chemistry report and chain of custody information); tattoo number	Agency: 1	Records Center: 2	Archives Center:
				Transfer to the State Records Center after final report is received		

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04851	Daily Log Sheet File (V)	This series documents all the activities related to horses on a race date, such as scratches, injuries, medications given, etc. Information from the Daily Veterinary Inspection File (04852) is used to update the daily log. The log also reflects the official record of medications given to the horses by attending veterinarians on race days. Information from the series is used in the event of subsequent inquiries concerning the physical condition of a horse on a specific race date, and would provide documentation related to discrepancies in medications.	Series contains: race date; track name; race number; barn; name of horse; name of trainer; bute; lasix; nerved; tattoo number; handwritten codes from veterinarian inspection report; medications administered and by whom; injuries	Agency: 1 year	Records Center: 10	Archives Center:  Send to Records Center.
04852	Daily Veterinarian Inspection File (C) KRS 61.878 (1)(h)(i)	This series documents pre-race examinations of horses, for the purpose of determining racing soundness. The physical examination concentrates on the front legs of the horse, because thoroughbreds are more vulnerable to front leg injuries. Inspection reports give a past history of examinations, medications and races, for comparison purposes. The results of the examinations are entered into a database, at the track. Information from previous examinations is utilized when conducting current exams. The series identifies changes in the horse's physical condition from race to race. Information from the series would be of importance, in the event of litigation.	Series contains: track name; race date; barn; name of horse; sire; owner; race number; distance; tattoo number; name of trainer; dam; color of horse; age; gender; past date, track, finish, type, prize; Kentucky racing date; scratch/run; grade; medications given; times bled; grade; notes; nerved; and name of track veterinarian	Agency: 1	Records Center: 5	Archives Center:  Transfer to the State Records Center after last race date
04853	Horse Injury Report File	This series documents specific details of injuries to horses, including the names of the tracks and the specific locations on the tracks where the injuries occurred. It also documents the outcome of the injury, that is, the horse was allowed to race again, euthanized, etc. Information from the series can be used to determine if track surfaces are contributing to injuries, both to horses and to jockeys, as well as to identify at-risk horses, track problems, distances of races as opposed to injuries. Series also is of value in filing insurance claims.	Series contains: race date; name of horse; race entered in; photograph of track, showing injury and pick up site; outcome of injury; detailed description of injury; copy of pre-race examination	Agency: 1	Records Center: 10	Archives Center:  Send to Records Center.
04854	Veterinary List File (V)	This series documents the lists generated each day by Commission veterinarians that identify horses that cannot be entered in a given race, due to injury, bleeding, sickness, lameness, etc. The list is posted in the racing Secretary's Office for use by trainers, owners, and the general public. The series also is used to verify horses that are bleeders. To race outside of Kentucky, certification of bleeders is required. Horses that are identified as bleeders can race in Kentucky, without certification, providing they are given lasix. The series also documents those horses that are released to run in a given race.	Series contains: name of horse; name of trainer; date entered on list; reason; scratch/run; release date; signature of Commission veterinarian	Agency: 5	Records Center:	Archives Center:  Destroy



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04855	Veterinary Report of Horses Treated (Daily) (C) KRS 61.878 (1)© (V)	This series documents the administration of medications by the horse's attending veterinarian, on the day of the race. It verifies that medications the horse requires to be able to race have been administered. The report must be turned in to a Commission veterinarian before the actual race. The series' primary value is that it documents the administration of bleeder medication, typically lasix. Bleeders are those horses that have respiratory problems. Lasix has been shown to lower pulmonary pressure and is the medication most often prescribed.	Series contains: date treated; name of veterinarian; time of treatment; name of horse; received by (initials of Commission veterinarian); date received	Agency: 1	Records Center: 2	Archives Center:
				Transfer to the State Records Center after date of last race		
05401	Breeder's Award File Closed Date: 12/31/1999	CLOSED SERIES: This series documented the Breeder's Award Fund, which was a program that provided monetary awards to the breeders and stallion owners of successful race horses. The fund was created in 1992 and was abolished in 1999. The fund was generated from receipts derived from off-track betting and averaged about \$2 million per year in awards. The awards were calculated from the actual purse earnings of runners and were paid each year to the registered breeders of the runners.	Series contains: Lists of all stallions eligible, with owner's names and amounts to be awarded; pay-in vouchers; check stubs	Agency: 0	Records Center: 10	Archives Center:
				Transfer to the State Records Center		
05535	Backside Improvement Fund File (C) KRS 61.878 (1)© (V)	This series documents the Backside Improvement Fund. According to KRS 230.218 and 810 KAR 1:021, this fund allows for improvements to be made on the 'backside' of thoroughbred racing tracks that average one million two hundred thousand (\$1,200,000) or less pari-mutuel handle per racing day on live racing. Backside facilities are those facilities at thoroughbred racetracks where horses are stabled and quartered and where stable employees work and live. Improvements considered include but aren't limited to the living and working quarters of backside employees.	invoices, reimbursement requests, cash transmittals, descriptions of improvements, photographs	Agency: 5	Records Center: 5	Archives Center:
				Transfer to State Records Center after 5 years.		
05536	Track Assessment File	This series contains correspondence sent out at the end of each race meet to Kentucky racetracks from KHRA regarding track assessments. Track assessments are a daily fee charged to racetracks conducting live racing and based on the Executive Director's salary and salary of field staff working at the tracks.	Reports that document invoices requesting payment, number of days raced, a copy of checks received	Agency: 5	Records Center: 3	Archives Center:
				Transfer to State Records Center after 5 years.		
05537	Unclaimed Pari-mutuel Tickets File (V)	This series contains documents pertaining to KHRA's procedure for collecting unclaimed pari-mutuel tickets. According to KRS 230.362 - 230.374, any person holding unclaimed pari-mutuel winning tickets presumed abandoned must submit a list of those tickets in their possession as of July 1 to the office of authority on or before September 1 of that year. The authority makes a copy of the report to mail to the sheriff of the county where the tickets are held. On or before October 1, the sheriff posts a copy of the report on the courthouse door or bulletin board for not less than 20 consecutive days and publishes a copy in the manner set forth by KRS 424. The sheriff certifies in writing the dates the list was posted and published. The list serves as notice to all holders of pari-mutuel tickets which have remained unclaimed for one year from the time the ticket became payable.	Invoices for advertising expenses, memo sent to county sheriff requesting notice of unclaimed ticket to be posted and advertised, newspaper clippings, reports/affidavits of unclaimed tickets	Agency: 3	Records Center: 5	Archives Center:
				Transfer to State Records Center after 3 years.		

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05538	Horse Entries File (C) KRS 61.878(1)© (V)	KRS 230.260 grants the HRA the authority to regulate conditions under which horse racing shall be conducted in Kentucky. As per 810 KAR 1:027, this series contains entry information on horses that are/were entered in the KY Derby and KY Breeders Cup races. The file may also include entries of horses in other races.	Name, weight, and age of horse entered into a race; name of owner; name of trainer; and name of jockey.	Agency: 5	Records Center: 5	Archives Center:
				Transfer to State Records Center after 5 years.		
05539	Kentucky Breeders Incentive Fund File (C) KRS 61.878(1)(a) (V)	This series documents participants in the Kentucky Breeders Incentive Fund (KBIF). The KBIF was created in 2005, under KRS 230.800, to encourage breeding of mares in Kentucky and to keep the breeders in the state. The main factor determining payout of the incentives is, therefore, a mare's residency. A breeder of a horse foaled in 2006 and all prior years will be eligible to participate in the breeders' incentive program if the horse was eligible to be registered under the Kentucky Thoroughbred Development Fund (KTDF). Breeders who desire to participate in the program for foals born in 2007 and all future years will be required to keep the mare in Kentucky from the time of the first breeding (to a sire registered to the KTDF) until the foal is born. Certain exceptions to the residency requirement are provided for mares needing to leave the state for medical reasons or if they are still in training. KBIF payouts are made to qualified breeders of qualified winners of each maiden special weight, allowance, and stakes race run in Kentucky, except for any Breeders' Cup World Thoroughbred Championship race run in Kentucky and any Grade I stakes race run in Kentucky. Incentive money comes from sales taxes paid on stallion stud fees.	Applications, cash transmittals, invoices, accounts payable documentation, authorized agent form, letters from KHRA to the breeder notifying them of an award, mare transfer forms, moving mare from Ky forms, withdrawal from program forms, late filing application	Agency: 3	Records Center: 5	Archives Center:
				Transfer to State Records Center after 3 years.		
05540	Equine Drug Research Council / Equine Drug Testing File (V)	KRS 230.265 establishes the Equine Drug Testing Council, while 810 KAR 1:018 establishes procedures for drug testing. This series documents equine drug testing. It also contains invoices for expenditures incurred to the Equine Drug Research Council (EDRC) and certain drugs that have been researched. These are filed by name of drug and contain information about the drug and evidence packets from when a drug is tested. Drugs are tested randomly, every race day and are re-tested if an unusual substance is found.	Invoice documentation, research documentation, correspondence from University lab to KHRA; evidence packets, results. Might also include: agendas from Ky Equine Drug Council meetings and correspondence between EDRC & KHRA	Agency: 3	Records Center: 5	Archives Center:
				Transfer to State Records Center after 3 years.		
05541	Kentucky Thoroughbred Development Fund File	This series documents distribution of funds through the Kentucky Thoroughbred Development Fund (KTDF), as established in 1978 by KRS 230.400. The purpose of KTDF is to encourage breeders from other states to send their breeding stock to Kentucky to improve the caliber of breeding and racing stock in the Commonwealth. Money comes from a percentage of handle: 2% of simulcasting and .75% of live handle.	Distribution requests (requests for payments), horse ID sheets used to verify that horses are KTDF eligible	Agency: 3	Records Center: 5	Archives Center:
				Transfer to State Records Center after 3 years.		